APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/780,772	02/19/2004	Kentaro Shimada	H-1131	2065

24956	7590	06/14/2006

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FLOURNOY, HORACE L

ART UNIT	PAPER NUMBER
2189	

DATE MAILED: 06/14/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

	Application No.	Applicant(s)
Office Action Summary	10/780,772	SHIMADA ET AL.
	Examiner	**Art Unit**	
	Horace L. Flournoy	2189	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE <u>3</u> MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on *10 May 2006*.

2a)☐ This action is **FINAL.**   2b)☒ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) *1,2 and 4-18* is/are pending in the application.

    4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) *1,2 and 4-18* is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☐ The drawing(s) filed on _____ is/are: a)☐ accepted or b)☐ objected to by the Examiner.

    Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

    Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

    a)☐ All   b)☐ Some * c)☐ None of:

      1.☐ Certified copies of the priority documents have been received.

      2.☐ Certified copies of the priority documents have been received in Application No. _____.

      3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

    * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1)☒ Notice of References Cited (PTO-892)

2)☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

3)☒ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
    Paper No(s)/Mail Date *5/25/06*.

4)☐ Interview Summary (PTO-413)
    Paper No(s)/Mail Date. _____ .

5)☐ Notice of Informal Patent Application (PTO-152)

6)☐ Other: _____.

DETAILED ACTION

ACKNOWLEDGEMENT OF REFERENCES CITED BY APPLICANT

As required by **M.P.E.P.** 609(c), the applicant's submission of the <u>Information Disclosure Statement</u> dated **05/25/2006** is acknowledged by the examiner and the cited references have been considered in the examination of the claims now pending. As required by **M.P.E.P.** 609(c), a copy of the PTOL-1449 initialed and dated by the examiner is attached to the instant office action.

REJECTIONS BASED ON PRIOR ART

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

The factual inquiries set forth in *Graham v. John Deere* CO., 383 U.S. 1, 148 USPQ 459 (1966), that are applied for establishing a background for determining obviousness under 35 U.S.C. 103(a) are summarized as follows:

1.   Determining the scope and contents of the prior art.

2.   Ascertaining the differences between the prior art and the claims at issue.
3.   Resolving the level of ordinary skill in the pertinent art.
4.   Considering objective evidence present in the application indicating obviousness or nonobviousness.

Claims 1-2 and 4-18 are rejected under 35 U.S.C. 103(a) as being obvious over

Doing et al. (U.S. P.G. Publication Number 2003/0009648) in view of DeKoning et al.

(U.S. Patent Number 6,216,199, hereafter referred to as DeKoning).

With respect to **independent claims 1, 16, and 18,**

Doing discloses:

"A storage to be connected to a network, **[Doing teaches paragraph [0018],**

"...coupled to a network"] *comprising: a host interface* **[Doing teaches in FIG.**

1, elements 110, 114/115. The host is interpreted by the examiner as a

workstation. Both workstation elements 114 and 115 interface to a network

via elements 110 and 114/115] *which is arranged to be connected to a host*

computer and the network **[Doing teaches in paragraph [0018], "...coupled to**

a network"] *and to receive file access from the host computer;* **[Doing teaches**

in paragraph [0055], "...instructions or data must be fetched or stored."

See FIGs. 1 & 2] *a plurality of disk drives* **[Doing teaches in FIG. 1, elements**

111 and 112, "DASD"] *and a control unit* **[Doing teaches on page 3,**

paragraph [0035]. Furthermore, FIG. 1, in its entirety is interpreted by the

examiner, as a "control unit"] *which translates data of the file access into block*

~~access~~ *data* **[Doing discloses in paragraphs [0037] and [0047]]** *and controls*

the plurality of disk drives on the basis of the block access **[Doing teaches in**

paragraph [0035]] *the control unit including a first processor* **[Doing teaches in**

FIG. 1, element 101A] *which translates* the data of *the file access into the block*

~~access~~ data, **[Doing discloses this limitation, e.g. in FIG. 5 (see all**

associated text within specification). Also see paragraph [0037]] *a second*

processor **[Doing discloses a "second processor" e.g. in FIG. 1 element 111:**

"Storage IOP"] *which controls the plurality of disk drives on the basis of the*

block ~~access~~ data, **[Doing discloses a "storage control portion" (FIG. 2,**

element 221) which is included on every CPU. See paragraph [0116]. Doing

teaches accessing the disk drive ("secondary storage such as a disk

drive") on the basis of block access.] *a cache memory* temporarily storing the

block data sent from the second processor, **[Doing teaches in FIG. 1, elements**

106, 107 and 108] *and a disk interface which connects the* ~~second processor~~

cache memory *and the plurality of disk drives* and sends the block data

temporarily stored in the cache memory to the plurality of disk drives; **[See**

Doing FIG. 1, elements 111, 112. The second processor connects the disk

interface (Storage IOP) to the plurality of disk drives (DASD) through

elements 105, 110.] *wherein the control unit logically partitions the host*

interface, **[Doing teaches in FIG. 1, elements 114,115]** *the first processor,*[e.g.

FIG. 1 element 101A, "CPU" See paragraph [0054] for further logical

partitioning of individual processors through multithreading] *the second*

processor, **[Doing discloses a "second processor" e.g. in FIG. 1 element**

111: "Storage IOP"] *the cache memory,*[e.g. FIG. 1 elements 106, 107, 108, L1

and L2] *the disk interface,* **[FIG. 1 elements 111 and 112. The "Storage IOP"**

(111 and 112) can be logically partitioned] *and, the plurality of disk drives,*

[FIG.1, "DASD"] *and causes the partitioned host interface, the partitioned first*

processor, the partitioned second processor, the partitioned cache memory, the

partitioned disk interface, and the partitioned plurality of disk drives to operate as

a plurality of virtual storages independently **[Doing discloses this limitation in**

paragraph [0065], lines 1-11]

Doing, however, does not disclose *expressly "cache memory temporarily storing*

the block data sent from the second processor".

DeKoning *discloses* in <u>column 9, lines 22-24</u>, "The storage processor reads a

block of data from a disk in the disk array and stores it to a cache block address in the

cache memory region."

Doing and DeKoning are analogous art because they are from the same field of

endeavor, that being computer architecture resource management.

At the time of the invention it would have been obvious to a person of ordinary

skill in the art to incorporate the storage processor cache into the storage apparatus for

partitioning resources to arrive at claims 1, 16, and 18.

The motivation for doing so would have been obvious because systems employ

cache memories for temporary data storage that can be accessed quickly.

Therefore, it would have been obvious to one of ordinary skill in the art at the

time of the invention having the teachings of DeKoning and Doing before him/her to

combine Doing and DeKoning for the benefit of having a system that can efficiently

store block data sent from a second processor to obtain the invention as specified in

claims 1, 16 and 18.

With respect to **claim 2, and independent claim 18**,

"A storage according to claim 1, wherein the control unit further includes a

plurality of cache memories, **[FIG. 1, elements 106, 107, 108]** *and the plurality of*

cache memories is logically partitioned and allocated to the respective plurality of

virtual storages" **[is disclosed in paragraphs [0053] and [0065] and FIG. 1 and**

2] [FIG. 1 teaches the implementation of the control unit (multiple

processors) and FIG. 2 teaches the implementation of a plurality of cache

memories. Since Doing is partitioning the plurality of processors, the

plurality of cache memories are also logically partitioned and allocated to

the respective plurality virtual storages.]

With respect to **claims 4, 6, and 7**,

"A storage according to claim 2, wherein the first processor executes a first

hypervisor which performs logical partitioning of the <u>host interface</u> and the first

processor **[is disclosed in paragraphs [0035] and [0036] and FIG. 1]** *and*

wherein the second processor executes a second hypervisor which performs

logical partitioning of the plurality of cache memories, <u>the disk interface,</u> the

plurality of disk devices and the second processor" **[is disclosed in paragraphs**

[0029] and [0036] and FIG. 1]

With respect to **claim 5, and independent claim 18**,

"A storage according to claim 4, wherein the control unit further includes a

plurality of memories which <u>are</u> used by the first processor and a plurality of

communication units which <u>connect</u> the first processor and the second processor

[is disclosed in FIG. 1 and paragraph [0053]] *wherein the plurality of memories* *are* *logically partitioned by the first hypervisor* [Doing discloses in paragraph [0138], "The ability of code in hypervisor state to alter the information in configuration register 910 means that the logical partitioning of a system can be dynamically changed. E.g., processors and other resources can be re-allocated to different logical partitions..." Also see paragraph [0065]] *and the plurality of communication units* *are* *logically partitioned by the second hypervisor* [is disclosed in paragraphs [0035] and [0036]]

With respect to claims 8, 11, and 16,

"A storage according to claim 2 further connected to a supervising terminal, [FIG. 1, "workstation" elements 114, 115] *wherein the control unit performs the logical partitioning on the basis of information inputted from the supervising terminal"* [is disclosed in paragraphs [0042] and [0046]. See FIG. 6]

With respect to claims 9 and 12,

"A storage according to claim 8, wherein, if information to be inputted to the supervising terminal is information to the effect that a host system using the storage *emphasizes* *data transfer rate, an amount of allocation of the plurality of cache memories to a virtual storage to be used by the host system among the plural virtual storages is increased"* [is disclosed in paragraph [0084], FIGs. 1-3, and 7]

With respect to **claim 10**,

> *"A storage according to claim 8, wherein, if information to be inputted to the supervising terminal is information to the effect that a host system using the storage performs random access in a large area, an amount of allocation of the plurality of cache memories to a virtual storage to be used by the host system among the plural virtual storages is reduced"* **[is disclosed in paragraph [0084], FIGs 1-3, and 7] [Doing teaches, the instruction (from a supervising terminal) has an importance in response time (Where L11-cache cannot respond (i.e., the requested instruction is not in L11-cache), a longer path via cache fill bus 233 through memory management unit 222 must be taken), then reduce the amount of allocation of shared cache to a virtual partition. Doing teaches that an allocation of cache is reduced for a particular partition (processor) when another processor is utilizing it.]**

Note: As applicant alleges on page 15 of the instant remarks, the amendments to claims 13-15 do *not* narrow their scope. Accordingly, the previous rejection should stand by itself. However, should it be found that such amendments do in fact narrow the scope, the limitations are shown in paragraphs [0138] and [0065].

With respect to **claim 13,**

> *"A storage according to claim 8, wherein, if information to be inputted to the supervising terminal is information to the effect that a host system using the storage requires access to a smaller number of large files than that for which processor support to one of the virtual storages is currently set for the host*

system, an amount of allocation of the first processor to the virtual storage to be

used by the host system is reduced, and an amount of allocation of the second

processor to the virtual storage is increased." **[Armstrong teaches amount of**

allocation of the first processor to the a virtual storage to be used by the

host system among the plural virtual storages is reduced, and an amount

of allocation of the second processor to the virtual storage is increased

(...each logical partition is allocated one or more processors 12, as well as

a portion of the available memory space for use in virtual memory 60.

Logical partitions can share specific hardware resources such as

processors, such that a given processor is utilized by more than one

logical partition.)]

With respect to **claim 14,**

"A storage according to claim 8, wherein, if information to be inputted to the

supervising terminal is information to the effect that a host system using the

storage requires access to a larger number of small files than that for which

processor support to one of the virtual storages is currently set for the host

system, an amount of allocation of the first processor to the virtual storage to be

used by the host system is increased, and an amount of allocation of the second

processor to the virtual storage is reduced" **[is disclosed in Armstrong et at.,**

column 4, lines 35-67(U.S. Pat. no. 6,279,046, incorporated by reference by

Doing and hereafter referred to as Armstrong)] [Armstrong teaches amount

of allocation of the first processor to the a virtual storage to be used by the

host system among the plural virtual storages is increased, and an amount

of allocation of the second processor to the virtual storage is reduced (...each logical partition is allocated one or more processors 12, as well as a portion of the available memory space for use in virtual memory 60. Logical partitions can share specific hardware resources such as processors, such that a given processor is utilized by more than one logical partition.)]

With respect to **claim 15**,

"A storage according to claim 11, wherein if information to be inputted to the supervising terminal is information to the effect that a host system using the storage requires sequential access to [is disclosed in paragraph [0084]] *a larger file than that for which communication unit support to one of the virtual storages is currently set for the host system, an amount of logical allocation of the plurality of communication units to the virtual storage to be used by the host system is reduced."* [is disclosed in Armstrong et at., column 4, lines 47-67(U.S. Pat. no. 6,279,046, incorporated by reference by Doing and hereafter referred to as Armstrong).] [Doing discloses in paragraph [0138], "The ability of code in hypervisor state to alter the information in configuration register 910 means that the logical partitioning of a system can be dynamically changed. E.g., processors and other resources can be re-allocated to different logical partitions..."]

With respect to **claim 17**,

> *"A storage system according to claim 16, wherein the information inputted to the supervising terminal is information on characteristics of accesses of a computer using the storage,* **[Doing discloses in paragraph [0138], "The ability of code in hypervisor state to alter the information in configuration register 910 means that the logical partitioning of a system can be dynamically changed. E.g., processors and other resources can be re-allocated to different logical partitions..."]** *and the storage calculates an amount of logical partitioning of resources provided in the storage on the basis of the information on characteristics of accesses inputted to the supervising terminal, and performs the logical partitioning using a result of the calculation."* **[disclosed in paragraphs [0040] and [0042]] [Doing teaches the inputted information to the supervising terminal (via operating system software) has characteristics of accesses of a computer using the storage (running in hypervisor state). The storage (NAS or system) calculates an amount of logical partitioning of resources provided in the storage (configuration information) on the basis of the inputted information and performs the logical partitioning using the result of the calculation (dynamically re-allocate resources to logical partitions).]**

Response to Amendment

Applicant's arguments filed **May 10, 2006** have been fully considered but they are not deemed to be persuasive and, as required by **M.P.E.P. 707.07(f)**, a response to these arguments appears below.

ARGUMENTS CONCERNING PRIOR ART REJECTIONS

1ST POINT OF ARGUMENT:

With respect to the arguments on page 12, lines 20-21 of the applicant's remarks, the examiner believes that Doing teaches partitioning of the disk interface. The examiner cites FIG. 1, elements 105, 111, and 112. These elements teach partitioning of the disk interface (bus interface) into (at least two) different subsets of storage processor-and storage resources, e.g.

2ND POINT OF ARGUMENT:

With respect to the argument on page 13, lines 1-4 of the applicant's remarks, please refer to the secondary reference DeKoning et al. (U.S. Patent Number 6,216,199).

3rd POINT OF ARGUMENT:

With respect to the argument on page 13, lines 15 through page 14, lines 1-2 of the applicant's remarks, Doing discloses a first processor (FIG. 1, element 101A) and a second processor (FIG. 1, element 111) that anticipate the applicant's claimed limitations. See paragraph [0065], lines 1-11.

CONCLUSION

Direction of Future Correspondences

Any inquiry concerning this communication or earlier communication from the examiner should be directed to Horace L. Flournoy whose telephone number is (571) 272-2705. The examiner can normally be reached on Monday through Friday 8:00 AM to 5:30 PM (ET).

Important Note

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Reginald G. Bragdon can be reached on (571) 272-4204. The fax phone numbers for the organization where this application or proceeding is assigned is (703) 746-7239.
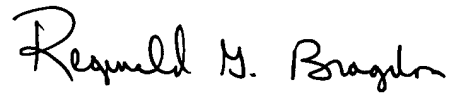
Information regarding the status of an Application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or PUBLIC PAIR. Status

information for unpublished applications is available through Private Pair only. For more

information about the PAIR system, see http://pair-direct.uspto.gov. Should you have

questions on access to the Private PAIR system, contact the Electronic Business

Center (EBC) at 866-217-9197 (toll-free).

Any inquiry of a general nature or relating to the status of this application or

proceeding should be directed to the receptionist whose telephone number is (571) 272-

2100.

Horace L. Flournoy   Reginald G. Bragdon

Patent Examiner   Supervisory Patent Examiner
Art unit: 2189   Technology Center 2100